

## Senate Resolution 3 - Introduced

### SENATE RESOLUTION NO. 3 BY COMMITTEE ON ETHICS

(SUCCESSOR TO SSB 1002)

1 A Resolution relating to the Senate Code of Ethics  
2 governing the conduct of members of the Senate in  
3 relation to their senatorial duties during the  
4 Eighty-fourth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code  
6 of Ethics for the ~~Eighty-third~~ Eighty-fourth General  
7 Assembly shall be amended to read as follows:

#### 8 SENATE CODE OF ETHICS

9 PREAMBLE. Every legislator owes a duty to uphold  
10 the integrity and honor of the general assembly, to  
11 encourage respect for the law and for the general  
12 assembly and the members thereof, and to observe the  
13 legislative code of ethics.

14 In doing so, members of the senate have a duty  
15 to conduct themselves so as to reflect credit on  
16 the general assembly, and to inspire the confidence,  
17 respect, and trust of the public, and to strive to  
18 avoid both unethical and illegal conduct and the  
19 appearance of unethical and illegal conduct.

20 Recognizing that service in the Iowa general  
21 assembly is a part-time endeavor and that members of  
22 the general assembly are honorable individuals who  
23 are active in the affairs of their localities and  
24 elsewhere and that it is necessary that they maintain  
25 a livelihood and source of income apart from their  
26 legislative compensation, the following rules are

1 adopted pursuant to section 68B.31, to assist the  
2 members in the conduct of their legislative affairs.

3 1. ECONOMIC INTEREST OF SENATOR. Taking into  
4 account that legislative service is part-time, a  
5 senator shall not accept economic or investment  
6 opportunity, under circumstances where the senator  
7 knows, or should know, that there is a reasonable  
8 possibility that the opportunity is being afforded the  
9 senator with intent to influence the senator's conduct  
10 in the performance of official duties.

11 2. DIVESTITURE. Where a senator learns that  
12 an economic or investment opportunity previously  
13 accepted was offered with the intent of influencing  
14 the senator's conduct in the performance of official  
15 duties, the senator shall take steps to divest that  
16 senator of that investment or economic opportunity, and  
17 shall report the facts of the situation to the senate  
18 ethics committee.

19 3. CHARGES FOR SERVICES. A senator shall not  
20 charge to or accept from a person, corporation,  
21 partnership, or association known to have a legislative  
22 interest a price, fee, compensation, or other  
23 consideration for the sale or lease of any property or  
24 the furnishing of services which is in excess of that  
25 which the senator would charge another.

26 4. USE OF CONFIDENTIAL INFORMATION. A senator in  
27 order to further the senator's own economic or other  
28 interests, or those of any other person, shall not  
29 disclose or use confidential information acquired in  
30 the course of official duties.

1     5. HONORARIA. A senator shall not accept an  
2 honorarium from a restricted donor for a speech,  
3 writing for publication, or other similar activity,  
4 except as otherwise provided in section 68B.23.

5     6. EMPLOYMENT. A senator shall not accept  
6 employment, either directly or indirectly, from a  
7 political action committee. A senator may accept  
8 employment from a political party, but shall disclose  
9 the employment relationship in writing to the secretary  
10 of the senate within ten days after the beginning  
11 of each legislative session. If a senator accepts  
12 employment from a political party during a legislative  
13 session, the senator shall disclose the employment  
14 relationship within ten days after acceptance of the  
15 employment.

16     For the purpose of this rule, a political action  
17 committee means a committee, but not a candidate's  
18 committee, which accepts contributions, makes  
19 expenditures, or incurs indebtedness in the aggregate  
20 of more than seven hundred fifty dollars in any one  
21 calendar year to expressly advocate the nomination,  
22 election, or defeat of a candidate for public office  
23 or to expressly advocate the passage or defeat of  
24 a ballot issue or influencing legislative action,  
25 or an association, lodge, society, cooperative,  
26 union, fraternity, sorority, educational institution,  
27 civic organization, labor organization, religious  
28 organization, or professional organization which makes  
29 contributions in the aggregate of more than seven  
30 hundred fifty dollars in any one calendar year to

1 expressly advocate the nomination, election, or defeat  
2 of a candidate for public office or ballot issue or  
3 influencing legislative action.

4 7. ECONOMIC INTERESTS OF LOBBYIST. With the  
5 exception of exercising unfettered discretion in  
6 supporting or refusing to support proposed legislation,  
7 a senator shall not take action intended to affect the  
8 economic interests of a lobbyist or citizen supporting  
9 or opposing proposed legislation.

10 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A  
11 senator may appear before a governmental agency or  
12 board in any representation case, except that the  
13 senator shall not act as a lobbyist. Whenever a  
14 senator appears before a governmental agency or board,  
15 the senator shall carefully avoid all conduct which  
16 might in any way lead members of the general public  
17 to conclude that the senator is using the senator's  
18 official position to further the senator's professional  
19 success or personal financial interest.

20 9. CONFLICTS OF INTERESTS. In order to permit the  
21 general assembly to function effectively, a senator  
22 will sometimes be required to vote on bills and  
23 participate in committee work which will affect the  
24 senator's employment and other monetary interests. In  
25 making a decision relative to the senator's activity on  
26 given bills or committee work which are subject to the  
27 code, the following factors shall be considered:

28 a. Whether a substantial threat to the senator's  
29 independence of judgment has been created by the  
30 conflict situation.

1     b. The effect of the senator's participation on  
2 public confidence in the integrity of the legislature.

3     c. The need for the senator's particular  
4 contribution, such as special knowledge of the  
5 subject matter, to the effective functioning of the  
6 legislature.

7     A senator with a conflict of interest may  
8 participate in floor debate if prior to debate the  
9 senator indicates the conflict of interest.

10    10. GIFTS. Except as otherwise provided in section  
11 68B.22, a senator, or that person's immediate family  
12 member, shall not, directly or indirectly, accept or  
13 receive any gift or series of gifts from a restricted  
14 donor.

15    11. DISCLOSURE REQUIRED. Each senator shall file  
16 with the secretary of the senate within ten days after  
17 the adoption of the code of ethics by the senate, and  
18 within ten days after the convening of the second  
19 session of the general assembly, a statement under  
20 section 68B.35 on forms provided by the secretary of  
21 the senate setting forth the following information:

22     The nature of each business in which the senator  
23 is engaged and the nature of the business of each  
24 company in which the senator has a financial interest.  
25 A senator shall not be required to file a report or  
26 be assumed to have a financial interest if the annual  
27 income derived from the investment in stocks, bonds,  
28 bills, notes, mortgages, or other securities offered  
29 for sale through recognized financial brokers is less  
30 than one thousand dollars.

1 Disclosures required under this rule shall be as  
2 of the date filed unless provided to the contrary,  
3 and shall be amended to include interests and changes  
4 encompassed by this rule that occur while the general  
5 assembly is in session. All filings under this rule  
6 shall be open to public inspection in the office of the  
7 secretary of the senate at all reasonable times.

8 The secretary of the senate shall inform the  
9 ethics committee of the statements which are filed  
10 and shall report to the ethics committee the names of  
11 any senators who appear not to have filed complete  
12 statements. The chairperson of the ethics committee  
13 shall request in writing that a senator who has failed  
14 to complete the report or appears to have filed an  
15 incomplete report do so within five days, and, upon  
16 the failure of the senator to comply, the ethics  
17 committee shall require the senator to appear before  
18 the committee.

19 12. STATUTORY VIOLATIONS. Members of the general  
20 assembly are urged to familiarize themselves with  
21 chapters 68B, 721, and 722.

22 13. CHARGE ACCOUNTS. Senators shall not charge any  
23 amount or item to any charge account to be paid for by  
24 any lobbyist or any client the lobbyist represents.

25 14. TRAVEL EXPENSES. A senator shall not charge  
26 to the state of Iowa amounts for travel and expenses  
27 unless the senator actually has incurred those mileage  
28 and expense costs. Senators shall not file the  
29 vouchers for weekly mileage reimbursement required  
30 by section 2.10, subsection 1, unless the travel

1 was actually incurred at commensurate expense to the  
2 senator.

3 15. COMPLAINTS. Complaints or charges against  
4 any senator or any lobbyist shall be in writing,  
5 made under oath, and filed with the secretary of the  
6 senate or the chairperson of the ethics committee. If  
7 filed with the secretary of the senate, the secretary  
8 shall immediately advise the chairperson of the ethics  
9 committee of the receipt of the complaint.

10 Complaint forms shall be available from the  
11 secretary of the senate, or the chairperson of the  
12 ethics committee, but a complaint shall not be rejected  
13 for failure to use an approved form if the complaint  
14 substantially complies with senate requirements.

15 A complainant may submit exhibits and affidavits  
16 attached to the complaint.

17 16. FILING OF COMPLAINTS.

18 a. Persons entitled. Complaints may be filed by  
19 any person believing that a senator ~~or~~, lobbyist, or  
20 client of a lobbyist has violated the senate ethics  
21 code, the senate rules governing lobbyists, or chapter  
22 68B of the Iowa Code. A violation of the criminal  
23 law may be considered to be a violation of this code  
24 of ethics if the violation constitutes a serious  
25 misdemeanor or greater, or a repetitive and flagrant  
26 violation of the law.

27 b. Committee complaint. The ethics committee  
28 may, upon its own motion, initiate a complaint,  
29 investigation, or disciplinary action.

30 c. Timeliness of filing. A complaint will be

1 considered to be timely filed if it is filed within  
2 three years of the occurrence of the alleged violation  
3 of the ethics code.

4 17. PERMANENT RECORD. The secretary of the senate  
5 shall maintain a permanent record of all complaints  
6 filed, evidence received by the committee, and any  
7 transcripts or other recordings made of committee  
8 proceedings, including a separate card file containing  
9 the date filed, name and address of the complainant,  
10 name and address of the respondent, a brief statement  
11 of the charges made, and ultimate disposition of  
12 the complaint. The secretary shall keep each such  
13 complaint confidential until public disclosure is made  
14 by the ethics committee.

15 18. PREHEARING PROCEDURE.

16 a. Defective complaint. Upon receipt of a  
17 complaint, the chairperson and ranking member of the  
18 ethics committee shall determine whether the complaint  
19 substantially complies with the requirements of this  
20 code of ethics and section 68B.31, subsection 6. If  
21 the complaint does not substantially comply with  
22 the requirements for formal sufficiency under the  
23 code of ethics, the complaint may be returned to the  
24 complainant with a statement that the complaint is not  
25 in compliance with the code and a copy of the code. If  
26 the complainant fails to amend the complaint to comply  
27 with the code within a reasonable time, the chair and  
28 ranking member may dismiss the complaint with prejudice  
29 for failure to prosecute.

30 b. Service of complaint on respondent. Upon



1 receipt of any complaint substantially complying  
2 with the requirements of this code of ethics, the  
3 chairperson of the ethics committee shall cause a copy  
4 of the complaint and any supporting information to  
5 be delivered promptly to the respondent, requesting  
6 a written response to be filed within ten days. The  
7 response may do any of the following:

8 (1) Admit or deny the allegation or allegations.

9 (2) Object that the allegation fails to allege a  
10 violation of chapter 68B or the code of ethics.

11 (3) Object to the jurisdiction of the committee.

12 (4) Request a more specific statement of the  
13 allegation or allegations.

14 c. Objection to member. In addition to the  
15 items which may be included in a response pursuant  
16 to paragraph "b", the response may also include an  
17 objection to the participation of any member of the  
18 committee in the consideration of the allegation or  
19 allegations on the grounds that the member cannot  
20 render an impartial and unbiased decision.

21 d. Extension of time. At the request of the  
22 respondent and upon a showing of good cause, the  
23 committee, or the chairperson and ranking member,  
24 may extend the time for response, not to exceed ten  
25 additional days.

26 e. Confidentiality. If a complaint is not  
27 otherwise made public, the members of the committee  
28 shall treat the complaint and all supporting  
29 information as confidential until the written response  
30 is received from the respondent.

1 f. Communications with ethics committee. After a  
2 complaint has been filed or an investigation has been  
3 initiated, a party to the complaint or investigation  
4 shall not communicate, or cause another to communicate,  
5 as to the merits of the complaint or investigation with  
6 a member of the committee, except under the following  
7 circumstances:

8 (1) During the course of any meetings or other  
9 official proceedings of the committee regarding the  
10 complaint or investigation.

11 (2) In writing, if a copy of the writing is  
12 delivered to the adverse party or the designated  
13 representative for the adverse party.

14 (3) Orally, if adequate prior notice of the  
15 communication is given to the adverse party or the  
16 designated representative for the adverse party.

17 (4) As otherwise authorized by statute, the senate  
18 code of ethics, the senate rules governing lobbyists,  
19 or vote of the committee.

20 g. Scheduling hearing. Upon receipt of the  
21 response, the committee shall schedule a public meeting  
22 to review the complaint and available information, and  
23 shall do one of the following:

24 (1) Notify the complainant that no further  
25 action will be taken, unless further substantiating  
26 information is produced~~, or~~.

27 (2) Dismiss the complaint for failure to meet the  
28 statutory and code of ethics requirements for valid  
29 complaints~~, or~~.

30 (3) Take action on the complaint without requesting

1 the appointment of an independent special counsel  
2 if the committee determines the complaint is valid  
3 and determines no dispute exists between the parties  
4 regarding the material facts that establish a  
5 violation. The committee may do any of the following:  
6     (a) Issue an admonishment to advise against the  
7 conduct that formed the basis for the complaint and to  
8 exercise care in the future.  
9     (b) Issue an order to cease and desist the conduct  
10 that formed the basis for the complaint.  
11     (c) Make a recommendation to the senate that  
12 the person subject to the complaint be censured or  
13 reprimanded.  
14     ~~(3)~~ (4) Request that the chief justice of the  
15 supreme court appoint an independent special counsel  
16 to conduct an investigation of the complaint and  
17 supporting information, to make a determination of  
18 probable cause, and to report the findings to the  
19 committee, which shall be received within a reasonable  
20 time.  
21     h. Public hearing. If independent special counsel  
22 is appointed, upon receipt of the report of independent  
23 special counsel's findings, the committee shall  
24 schedule a public meeting to review the report and  
25 shall do either of the following:  
26     (1) Cause the complaint to be scheduled for a  
27 public hearing.  
28     (2) Dismiss the complaint based upon a  
29 determination by independent special counsel and the  
30 committee that insufficient evidence exists to support

1 a finding of probable cause.

2 19. HEARING PROCEDURE.

3 a. Notice of hearing. If the committee causes  
4 a complaint to be scheduled for a public hearing,  
5 notice of the hearing date and time shall be given to  
6 the complainant and respondent in writing, and of the  
7 respondent's right to appear in person, be represented  
8 by legal counsel, present statements and evidence, and  
9 examine and cross-examine witnesses. The committee  
10 shall not be bound by formal rules of evidence, but  
11 shall receive relevant evidence, subject to limitations  
12 on repetitiveness. Any evidence taken shall be under  
13 oath.

14 b. Subpoena power. The committee may require, by  
15 subpoena or otherwise, the attendance and testimony of  
16 witnesses and the production of such books, records,  
17 correspondence, memoranda, papers, documents, and any  
18 other things it deems necessary to the conduct of the  
19 inquiry.

20 c. Ex post facto. An investigation shall not be  
21 undertaken by the committee of a violation of a law,  
22 rule, or standard of conduct that is not in effect at  
23 the time of violation.

24 d. Disqualification of member. Members of the  
25 committee may disqualify themselves from participating  
26 in any investigation of the conduct of another person  
27 upon submission of a written statement that the member  
28 cannot render an impartial and unbiased decision  
29 in a case. A member may also be disqualified by a  
30 unanimous vote of the remaining eligible members of the

1 committee.

2 A member of the committee is ineligible to  
3 participate in committee meetings, as a member of the  
4 committee, in any proceeding relating to the member's  
5 own official conduct.

6 If a member of the committee is disqualified or  
7 ineligible to act, the majority or minority leader who  
8 appointed the member shall appoint a replacement member  
9 to serve as a member of the committee during the period  
10 of disqualification or ineligibility.

11 e. Hearing. At the hearing, the chairperson shall  
12 open the hearing by stating the charges, the purpose of  
13 the hearing, and its scope. The burden of proof rests  
14 upon the complainant to establish the facts as alleged,  
15 by clear and convincing evidence. However, questioning  
16 of witnesses shall be conducted by the members of the  
17 committee, by independent special counsel, or by a  
18 senator. The chairperson shall also permit questioning  
19 by legal counsel representing the complainant or  
20 respondent.

21 The chairperson or other member of the committee  
22 presiding at a hearing shall rule upon procedural  
23 questions or any question of admissibility of evidence  
24 presented to the committee. Rulings may be reversed by  
25 a majority vote of the committee members present.

26 The committee may continue the hearing to a future  
27 date if necessary for appropriate reasons or purposes.

28 f. Committee action. Upon receipt of all relevant  
29 evidence and arguments, the committee shall consider  
30 the same and recommend to the senate any of the

1 following:

2 (1) That the complaint be dismissed~~, or~~.

3 (2) That the senator or lobbyist be censured or  
4 reprimanded, and recommend the appropriate form of  
5 censure or reprimand~~, or~~.

6 (3) Any other appropriate sanction, including  
7 suspension or expulsion from membership in the senate,  
8 or suspension of lobbying privileges.

9 g. Disposition resolution. By appropriate  
10 resolution, the senate may amend, adopt, or reject  
11 the report of the ethics committee, including the  
12 committee's recommendations regarding disciplinary  
13 action.

14 20. COMMITTEE AUTHORIZED TO MEET. The senate  
15 ethics committee is authorized to meet at the  
16 discretion of the chairperson to conduct hearings and  
17 other business that properly may come before it. If  
18 the committee submits a report seeking senate action  
19 against a senator or lobbyist after the second regular  
20 session of a general assembly has adjourned sine die,  
21 the report shall be submitted to and considered by  
22 the subsequent general assembly. However, the report  
23 may be submitted to and considered during any special  
24 session which may take place after the second regular  
25 session of a general assembly has adjourned sine die,  
26 but before the convening of the next general assembly.

27 21. ADVISORY OPINIONS.

28 a. Requests for formal opinions. A request for a  
29 formal advisory opinion may be filed by any person who  
30 is subject to the authority of the ethics committee.

1 The ethics committee may also issue a formal advisory  
2 opinion on its own motion, without having previously  
3 received a formal request for an opinion, on any issue  
4 that is within the jurisdiction of the committee.

5 Requests shall be filed with either the secretary of  
6 the senate or the chairperson of the ethics committee.

7     b. Form and contents of requests. A request for  
8 a formal advisory opinion shall be in writing and  
9 may pertain to any subject matter that is related to  
10 the application of the senate code of ethics, the  
11 senate rules governing lobbyists, or chapter 68B of  
12 the Code to any person who is subject to the authority  
13 of the ethics committee. Requests shall contain one  
14 or more specific questions and shall relate either to  
15 future conduct or be stated in the hypothetical. A  
16 request for an advisory opinion shall not specifically  
17 name any individual or contain any other specific  
18 identifying information, unless the request relates  
19 to the requester's own conduct. However, any request  
20 may contain information which identifies the kind of  
21 individual who may be affected by the subject matter  
22 of the request. Examples of this latter kind of  
23 identifying information may include references to  
24 conduct of a category of individuals, such as but not  
25 limited to conduct of legislators, legislative staff,  
26 or lobbyists, or clients of lobbyists.

27     c. Confidentiality of formal requests and opinions.  
28 Requests for formal opinions are not confidential and  
29 any deliberations of the committee regarding a request  
30 for a formal opinion shall be public. Opinions issued

1 in response to requests for formal opinions are not  
2 confidential, shall be in writing, and shall be placed  
3 on file in the office of the secretary of the senate.  
4 Persons requesting formal opinions shall personally  
5 receive a copy of the written formal opinion that is  
6 issued in response to the request.

7 22. CALCULATION OF TIME — DAYS. For purposes of  
8 these rules, unless the context otherwise requires,  
9 the word "day" or "days" shall mean a calendar day  
10 except that if the day is the last day of a specific  
11 time period and falls upon a Saturday, Sunday, or legal  
12 holiday, the time prescribed shall be extended so as to  
13 include the whole of the next day in which the offices  
14 of the senate and the general assembly are open for  
15 official business.

16 23. COMPLAINT FILING FORM. The following form  
17 shall be used to file a complaint under these rules:

18 THE SENATE

19 Ethics Complaint Form

20 Re: \_\_\_\_\_ (Senator/Lobbyist),  
21 of \_\_\_\_\_, Iowa.

22 I, \_\_\_\_\_ (Complainant), residing  
23 at \_\_\_\_\_, in the City of \_\_\_\_\_,  
24 State of \_\_\_\_\_, hereby complain that  
25 \_\_\_\_\_ (Senator/Lobbyist), whose  
26 address is \_\_\_\_\_,

27 has violated the Senate Code of Ethics or Senate Rules  
28 Governing Lobbyists in that:

29 (Explain the basis for the complaint here. Use  
30 additional pages, if necessary.)



1 Under penalty of perjury, I certify that the above  
2 complaint is true and correct as I verily believe.

3

4 Signature of Complainant

5 SUBSCRIBED AND AFFIRMED to before me this \_\_\_\_\_  
6 day of \_\_\_\_\_, \_\_\_\_\_.

7

8 Notary Public in and for the  
9 State of \_\_\_\_\_

10 24. COMPLAINT NOTICE FORM. The following form  
11 shall be used for notice of a complaint under these  
12 rules:

13 STATE OF IOWA

14 THE SENATE

15 COMMITTEE ON ETHICS )

16 IOWA STATE SENATE )

17 )

18 On The Complaint Of ) NOTICE OF COMPLAINT

19 )

20 \_\_\_\_\_ )

21 )

22 And Involving )

23 )

24 \_\_\_\_\_ )

25 )

26 TO \_\_\_\_\_,

27 Senator or Lobbyist named above:

28 You are hereby notified that there is now on file  
29 with the Secretary of the Senate, State Capitol, Des  
30 Moines, Iowa, a complaint which alleges that you have

1 committed a violation of the Senate's Code of Ethics or  
2 Senate Rules Governing Lobbyists.

3 A copy of the complaint and the Senate rules for  
4 processing the same are attached hereto and made a part  
5 of this notice.

6 You are further notified and requested to file your  
7 written answer to the complaint within ten days of the  
8 date upon which the notice was caused to be delivered  
9 to you, (date) \_\_\_\_\_, \_\_\_\_\_.

10 Your answer is to be filed with the Secretary of the  
11 Senate, State Capitol, Des Moines, Iowa.

12 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

13

14 \_\_\_\_\_  
15 Chair, Senate Ethics Committee,  
16 or Secretary of the Senate

17 25. HEARING NOTICE FORM. The following form shall  
18 be used for notice of a hearing under these rules:

19 STATE OF IOWA

20 THE SENATE

21 COMMITTEE ON ETHICS )

22 IOWA STATE SENATE )

23 )

24 On The Complaint Of ) NOTICE OF HEARING

25 )

26 \_\_\_\_\_ )

27 And Involving )

28 )

29 )

30 \_\_\_\_\_ )

31 )

1 TO \_\_\_\_\_,

2 Senator or Lobbyist named above:

3 You are hereby notified that there is now on file  
4 with the Secretary of the Senate, State Capitol, Des  
5 Moines, Iowa, a complaint which alleges that you have  
6 committed a violation of the Senate's Code of Ethics or  
7 Senate Rules Governing Lobbyists.

8 A copy of the complaint and the Senate rules for  
9 processing the same are attached hereto and made a part  
10 of this notice.

11 You are further notified that, after preliminary  
12 review, the committee has caused a public hearing to be  
13 scheduled on (date) \_\_\_\_\_, \_\_\_\_\_, at  
14 (hour) \_\_\_\_\_ (a.m.) (p.m.), in Room \_\_\_\_\_, State  
15 Capitol, Des Moines, Iowa.

16 At the hearing, you will have the right to appear  
17 in person, be represented by legal counsel at your own  
18 expense, present statements and evidence, and examine  
19 and cross-examine witnesses. The committee shall  
20 not be bound by formal rules of evidence, but shall  
21 receive relevant evidence, subject to limitations on  
22 repetitiveness. Any evidence taken shall be under  
23 oath.

24 The committee may continue the hearing to a future  
25 date if necessary for appropriate reasons or purposes.

26 You are further notified that the committee will  
27 receive such evidence and take such action as warranted  
28 by the evidence.

29 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
30 \_\_\_\_\_

1 Chair, Senate Ethics Committee,  
2 or Secretary of the Senate  
3 26. PERSONAL FINANCIAL DISCLOSURE FORM. The  
4 following form shall be used for disclosure of economic  
5 interests under these rules and section 68B.35:  
6 STATEMENT OF ECONOMIC INTERESTS  
7 Name: \_\_\_\_\_  
8 (Last) (First) (Middle Initial)  
9 Address: \_\_\_\_\_  
10 (Street Address, Apt.#/P.O. Box)  
11 \_\_\_\_\_  
12 (City) (State) (Zip)  
13 Phone: (Home) \_\_\_\_/\_\_\_\_-\_\_\_\_ (Business) \_\_\_\_/\_\_\_\_-\_\_\_\_  
14 \*\*\*\*\*  
15 a. Please list each business, occupation, or  
16 profession in which you are engaged. In listing  
17 the business, occupation, or profession, it is  
18 not necessary that your employer or the name of  
19 the business be listed, although all businesses,  
20 occupations, or professions must be listed, regardless  
21 of the amount of income derived or time spent  
22 participating in the activity. (Examples of types  
23 of businesses, occupations, or professions that may  
24 be listed: teacher, lawyer, legislator, real estate  
25 agent, insurance adjuster, salesperson....)  
26 (1) \_\_\_\_\_  
27 (2) \_\_\_\_\_  
28 (3) \_\_\_\_\_  
29 (4) \_\_\_\_\_  
30 (5) \_\_\_\_\_

1     b. Please list the nature of each of the  
 2 businesses, occupations, or professions which you  
 3 listed in paragraph "a", above, unless the nature of  
 4 the business, occupation, or profession is already  
 5 apparent from the information indicated above. The  
 6 descriptions in this paragraph should correspond by  
 7 number to the numbers for each of the businesses,  
 8 occupations, or professions listed in paragraph "a".  
 9 (Examples: If you indicated, for example, that you  
 10 were a salesperson in subparagraph (1) of paragraph  
 11 "a", you should list in subparagraph (1) of this  
 12 paragraph the types of goods or services sold in this  
 13 item. If you indicated that you were a teacher in  
 14 subparagraph (2) of paragraph "a", you should indicate  
 15 in subparagraph (2) of this paragraph the type of  
 16 school or institution in which you provide instruction  
 17 or whether the instruction is provided on a private  
 18 basis. If you indicated that you were a lawyer in  
 19 subparagraph (3) of paragraph "a", you should indicate  
 20 your areas of practice and whether you are in private,  
 21 corporate, or government practice in subparagraph (3)  
 22 of this paragraph. If you indicated in subparagraph  
 23 (4) of paragraph "a" that you were a consultant, in  
 24 subparagraph (4) of this paragraph you should indicate  
 25 the kind of services provided and types of clients  
 26 served.)

- 27 (1) \_\_\_\_\_  
 28 (2) \_\_\_\_\_  
 29 (3) \_\_\_\_\_  
 30 (4) \_\_\_\_\_

1 (5) \_\_\_\_\_

2 c. Please list each source, by general description,  
 3 from which you receive, or which generates, more than  
 4 one thousand dollars in gross annual income in the  
 5 categories listed below. For purposes of this item,  
 6 a source produces gross annual income if the revenue  
 7 produced by the source is subject to federal or state  
 8 income taxes. In completing this item, it is not  
 9 necessary to list the name of the company, business,  
 10 financial institution, corporation, partnership, or  
 11 other entity which constitutes the source of the income  
 12 and the amount or value of the holding should not be  
 13 listed.

14 (1) Securities (Here for example, you need not  
 15 state that you own X number of shares of any specific  
 16 company by brand or corporate name, or that the stock  
 17 is of a certain value, but may instead state that you  
 18 possess stock in a company and indicate the nature of  
 19 the company's business.):

20 \_\_\_\_\_  
 21 \_\_\_\_\_  
 22 \_\_\_\_\_  
 23 \_\_\_\_\_  
 24 \_\_\_\_\_

25 (2) Instruments of Financial Institutions (You  
 26 need not indicate, for example, in which institutions  
 27 you hold certificates of deposit that produce annual  
 28 income over the one thousand dollar threshold, but  
 29 simply listing the nature of the institution will  
 30 suffice, e.g., bank, credit union, or savings and loan

1 association.):

2 \_\_\_\_\_  
3 \_\_\_\_\_  
4 \_\_\_\_\_  
5 \_\_\_\_\_  
6 \_\_\_\_\_

7 (3) Trusts (The name of the particular trust need  
8 not be listed. However, if the income is received  
9 from a charitable trust/foundation, such as the Pugh  
10 Charitable Trust, in the form of a grant, the fact that  
11 the trust is a charitable trust should be noted here.):

12 \_\_\_\_\_  
13 \_\_\_\_\_  
14 \_\_\_\_\_  
15 \_\_\_\_\_  
16 \_\_\_\_\_

17 (4) Real Estate (When listing real estate, it is  
18 not necessary to list the location of the property, but  
19 the general nature of the real estate interest should  
20 be indicated, e.g., residential leasehold interest or  
21 farm leasehold interest.):

22 \_\_\_\_\_  
23 \_\_\_\_\_  
24 \_\_\_\_\_  
25 \_\_\_\_\_  
26 \_\_\_\_\_

27 (5) Retirement Systems (When listing retirement  
28 benefits, it is not necessary to list the name of  
29 the particular pension system or company, but rather  
30 the type of benefit should be listed, e.g., health

1 benefits, life insurance benefits, private pension, or  
2 government pension.):

3 \_\_\_\_\_  
4 \_\_\_\_\_  
5 \_\_\_\_\_  
6 \_\_\_\_\_  
7 \_\_\_\_\_

8 (6) Other Income Categories Specified in State or  
9 Federal Income Tax Regulations (List description of  
10 other sources of income producing over one thousand  
11 dollars in annual income not previously reported above,  
12 but which must be reported for income tax purposes.):

13 \_\_\_\_\_  
14 \_\_\_\_\_  
15 \_\_\_\_\_  
16 \_\_\_\_\_  
17 \_\_\_\_\_  
18 \_\_\_\_\_  
19 \_\_\_\_\_

20 (Signature of filer)

(Date)